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Part I: Capital Asset Plan and Business Case (All Assets)

Agency
Bureau
Account Title
Account Identification Code
Program Activity
Name of Project
Unique Project Identifier: (IT only)(See section 53.7)
Project Initiation Date
Project Planned Completion Date

This Project is:	Concept	Initial Planning	Full Acquisition	Steady State	Mixed Life Cycle

	Incrementally	Fully
Project/useful segment is funded:		

	Yes	No
Was this project approved by OMB for previous Year Budget Cycle?		
Did the Executive/Investment Review Committee approve funding for This project this year?		
Did the CFO review the cost goal?		
Did the Procurement Executive review the acquisition strategy?		
Is this investment included in your agency's annual performance plan or multiple agency annual performance plans?		
Does the project support homeland security goals and objectives, i.e., 1) improve border and transportation security, 2) combat bio-terrorism, 3) enhance first responder programs; 4) improve information sharing to decrease response times for actions and improve the quality of decision making?		
Is this project information technology? (See Section 53 for definition)		

For information technology projects only:

	Yes	No
a. Is this Project a Financial Management System? (see section 53.2 for a definition)		
If so, does this project address a FFMIA compliance area?		
If yes, which compliance area?		
b. Does this project implement electronic transactions or record keeping that is covered by the Government Paperwork Elimination Act (GPEA)?		
If so, is it included in your GPEA plan (and does not yet provide an electronic option)?		
Does the project already provide an electronic option?		
c. Was a privacy impact assessment performed for this project?		
d. Was this project reviewed as part of the FY02 Government Information Security Reform Act review process?		

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d.1 If yes, were any weaknesses found?	Yes	No
d.2. Have the weaknesses been incorporated into the agency's corrective action plans?	Yes	No
e. Has this project been identified as a national critical operation or asset by a Project Matrix review or other agency determination?	Yes	No
e.1 If no, is this an agency mission critical or essential service, system, operation, or asset (such as those documented in the agency's COOP Plan), other than those identified as above as national critical infrastructures?	Yes	No

I.A. SUMMARY OF SPENDING FOR PROJECT STAGES
(In Millions)

EXISTING 300	PY-1 and Earlier	PY 2002	CY 2003	BY 2004	BY+1 2005 Planned	BY+2 2006 Planned	BY+3 2007 Planned	BY+4& Beyond Planned	Total
Planning:									
Budgetary Resources									
Outlays									
Full Acquisition :									
Budgetary Resources									
Outlays									
Total, sum of stages:									
Budgetary Resources									
Outlays									
Maintenance:									
Budgetary Resources									
Outlays									
Total, All Stages:									
Budgetary Resources									
Outlays									

I.B. Justification (All Assets)

I.B.1) How does this investment support your agency's mission and strategic goals and objectives? How does it support the strategic goals from the President's Management Agenda.

I.B.2) Are there any alternative sources in the public or private sectors that could perform this function? If so, explain why your agency did not select one of these alternatives.

1.B.3) Who are the customers for this project?

I.B.4) Who are the stakeholders of this project?

I.B.5) If this is a multi-agency initiative, identify the agencies and organizations affected by this initiative.

I.B.6) How will this investment reduce costs or improve efficiencies?

I.C. Performance Goals and Measures (All Assets)

	Strategic	Existing	Planned	Actual	Planned	Actual

98 percent solution (DRAFT) as of 4.11.2002 **Attachment 1-2**

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	Goal(s) Supported	Baseline	Performance Improvement Goal	Performance Improvement Results	Performance Metric	Performance Metric Results
FY02						
FY02						
FY03						
FY03						
FY04						
FY04						

I.D. Program Management [All Assets]

1. Is there a program manager assigned to the project? If so, what is his/her name? Yes _____ No _____

2. Is there a contracting officer assigned to the project?

Yes _____ No _____

3. Sponsor / Owner: Yes _____ No _____

I.E. Alternatives Analysis and Risk Management [All Assets]

I.E.1) Describe the alternatives you considered for supporting your on-going project. Describe the results of the feasibility/performance/benefits analysis.

Alternative	Description
Alternative 1 –	
Alternative 2 –	
Alternative 3 –	
Alternative 4 –	

I.E.2) Summarize the results of your life-cycle cost analysis performed for each investment and the underlying assumptions.

Cost Elements	Alternative 1	Alternative 2	Alternative 3	Alternative 4
Element 1				
Element 2				
Element 3				
Element 4				
Element 5				
Total				

I.E.3) Which alternative was chosen and why?

I.E.3.(A). Are there any quantitative benefits that will be achieved through this investment (e.g., systems savings, cost avoidance, stakeholder benefits, etc?

I.E.3.(B) For alternative selected, provide financial summary, including Net Present Value by Year and Payback Period Calculations:

Net Present Value by Year

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YEAR =	FY	FY	FY	FY	FY	FY	FY	FY	FY

I.E.4) What is the date of your cost benefit analysis?

I.E.5) Describe the results of your risk assessment for this project and discuss your plans to eliminate, mitigate, or manage identified risks (e.g., financial, acquisition, technical).

Table I. Risk Inventory and Assessment

Risk Assessments performed at the initial concept stage and then monitored and controlled throughout the life-cycle of the project, should include risk information from all stakeholders.

OMB establishes minimum mandatory set of risk factors for IT Projects. These are 1) Organizational and Change Management, 2) Business, 3) Data/Info, 4) Technology, 5) Strategic, 6) Security, 7) Privacy, and 8) Project Resources. (Agencies may include others for IT, and may define the core set for other assets.)

For security risks, identify under the description column the level of risk as high, medium, or basic. What aspect of security determines the level of risk, i.e., the need for confidentiality of information, availability of information or the system, reliability of the information or system?

Date Identified	Area of Risk	Description	Probability of Occurrence	Strategy for Mitigation	Current Status as of the date of this Exhibit

I.E.6) What is the date of your risk management plan?

I.F. Acquisition Strategy

I.F.1) Will you use a single contract or several contracts to accomplish this project? If multiple contracts are planned, explain how they are related to each other, and how each supports the project performance goals.

I.F.2) What type(s) of contract(s) will you use (e.g. cost reimbursement, fixed-price, etc.)?

I.F.3) Will you use financial incentives to motivate contractor performance (e.g. incentive fee, award fee, etc.)?

I.F.4) Will you use competition to select suppliers?

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I.F.5) Will you use commercially available or COTS products, or custom-designed products?

I.F.6) What is the date of your acquisition plan?

I.F.7) How will you ensure Section 508 compliance?

I.G. : PROJECT AND FUNDING PLAN

I.G.1. Description of performance-based system (PBMS):
Using information consistent with a work breakdown structure (WBS) approach, provide the following in all parts of this section.

I.G.2. Original baseline (OMB-approved at project outset):

I.G.2(A) What are the cost and schedule goals for this segment of phase of the project (e.g., what are the major project milestones or events; when will each occur; and what is the estimated cost to accomplish each one)? Also identify the funding agency for each milestone or event if this is a multi-agency project.

Description	Schedule		Duration	Cost and Schedule Goals	Funding Agency
	Start Date	End Date	Days	Planned Cost	

I.G.3. Proposed Baseline Changes (applicable *only* if OMB approved the changes):

What are the cost and schedule goals for the project (e.g., what are the major project milestones or events; when will each occur; and what is the estimated cost to accomplish each one)? Also identify the funding agency for each milestone or event if this is a multi-agency project.

Description	Schedule		Duration	Cost and Schedule Goals	Funding Agency
	Start Date	End Date	Days	Planned Cost	

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I.G.4 Actual Performance and Variance from OMB approved baseline (Original or Current):

Actual cost and schedule performance.
I.G.4(A) Explain what work you planned (scheduled) to accomplish and how much you budgeted to complete the work.

	Planned					Actual			
	Schedule		Duration	Planned Cost		Schedule		Percent Complete	Actual Cost
Description	Start Date	End Date	Days	(000)	Funding Agency	Start Date	End Date		

PROJECT SUMMARY (CUMULATIVE)	Cost Variance	
	Cost Variance %	
	Cost Performance Index (CPI)	
	Planned Cost Incurred	
	Schedule Variance	
	Schedule Variance %	
	Schedule Performance Index (SPI)	
	Expected at Completion (EAC)	
	Expected to Completion (ETC)	
	Expected Completion Date	

I.G.4(B) What work did you actually accomplish and how much did you actually spend?

Refer to the list of accomplishments in the Project Description.

I.G.4(C) Cost and schedule variance. If either the actual work accomplished or costs incurred vary from your baseline goals by 10 percent or more, explain:

I.G.4(D) What is the variance between planned and actual costs or planned and actual schedule, expressed as a percentage of the baseline goal.

I.G.4(E) Provide the reason for the variance.

I.G.4(F)Provide performance variance. Explain whether, based on work accomplished to date, you still expect to achieve your performance goals. If not, explain the reasons for the variance.

I.G.4(G) Corrective actions:

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I.G.4(H) If actual work accomplished or costs incurred to date vary from the planned baseline goals by 10 percent or more, explain:

I.G.4(H)(1) What do you plan to do, if anything, to correct project performance?

I.G.4(H)(2) What effect will your action have on overall project cost, schedule and performance benefits?

PART II: Additional Business Case Criteria for Information Technology

II. A Project Description

II.A.1) Provide a brief description of this project and its status through your capital planning and investment control (CPIC) "control" review for the current cycle.

II.A.2) What assumptions are made about this project and why?

II. A.3) What are the major process simplification/reengineering/design projects that are required as part of this initiative?

II. A.4) What are the major organization restructuring, training, and change management projects that are required?

II. A.5) What are the lines of business involved in this project?

II. A.6) What are the implications for the agency business architecture?

II. A.7) What types of data will be used in this project?

II. A.8) - Summary) Synthesis of findings derived from research, interviews, and other documentation?

II. B. Enterprise Architecture

II.B.1) Is this project identified in your agency's enterprise architecture? If not, why?

II.B.2) Explain how this project conforms to your departmental (entire agency) enterprise architecture.

II.B.3) Discuss this initiative/project in relationship to the business and data layers of the EA.

II.B.4) If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic Data Committee standards required by OMB Circular A-16.

II.B.4) Does the data needed for this project already exist at the Federal, State, or Local level? If so, what are your plans to gain access to that data?

II.B.5) Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?

II.B.6) Discuss this initiative/project in relationship to the application and technology layers of the EA. Include a discussion of hardware, applications, infrastructure, etc.

II.B.7) Are all of the hardware, applications, and infrastructure requirements for this project included in the

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EA Technical Reference Model? If not, please explain.

II. C. Security and Privacy

NOTE: Each category below must be addressed at the project (system/application) level, not at a program or agency level. Referring to security plans or other documents is not an acceptable response.

II.C.1) How is security provided and funded for this project (e.g., by program office or by the CIO through the general support system/network)?

II.C.1(A) What is the total dollar amount allocated to security for this project in FY04?

II.C.2) Does the project (system/application) meet the following security requirements of the Government Information Security Reform Act, OMB policy, and NIST guidance?

II.C.2(A). Does the project (system/application) have an up-to-date security plan that meets the requirements of OMB policy and NIST guidance? What is the date of the plan?

II.C.2(B) Has the project undergone an approved certification and accreditation process? Specify the C&A methodology used (e.g., NIST guidance) and the date of the last review.

II.C.2(C) Have the management, operational, and technical security controls been tested for effectiveness? When were most recent tests performed?

II.C.2(D) Have all system users been appropriately trained in past year, including rules of behavior and consequences for violating the rules?

II.C.2(E) How has incident handling capability been incorporated into the system, including intrusion detection monitoring and audit log reviews? Are incidents reported to GSA's FedCIRC?

II.C.2(F) Is the system operated by contractors either on-site or at a contractor facility? If yes, does any such contract include specific security requirements required by law and policy? How are contractor security procedures monitored, verified, and validated by the agency?"

II.C.3) How does the agency ensure the effective use of security controls and authentication tools to protect privacy for those systems that promote or permit public access?

II.C.4) How does the agency ensure that the handling of personal information is consistent with relevant government-wide and agency policies.

II.C.5) If a Privacy Impact Assessment was conducted, please provide a copy to OMB.

II. D. Government Paperwork Elimination Act (GPEA)

II.D.1) If this project supports electronic transactions or record-keeping that is covered by GPEA, briefly describe the transaction or record-keeping functions and how this investment relates to your agency's GPEA plan.

II.D.2) What is the date of your GPEA plan?

II.D.3) Identify any OMB Paperwork Reduction Act (PRA) control numbers from information collections that are tied to this investment.